

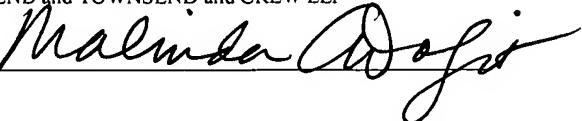


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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

On 3 Jan. 2005

TOWNSEND and TOWNSEND and CREW LLP

By: 

DA C  
JAN 2005  
~~AA~~

PATENT

Attorney Docket no. 02307K-141312US  
Client Ref. no. 96-540-4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

*In re* application of:

Charles L. Sawyers *et al.*

Application No.: 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN  
PROSTATE CANCER PROGRESSION

Customer No.: 20350

Confirmation No. 4057

Examiner: Joanne Hama

Group Art Unit: 1632

PETITION UNDER 37 CFR §1.183

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR §1.183, Applicants hereby petition for waiver of the provisions of 37 C.F.R. §1.67 in order to file a supplemental Declaration where a joint inventor refuses to sign or cannot be found or reached after diligent effort.

Proof of the pertinent facts is submitted with the petition, to properly establish that a diligent effort has been made to obtain the signature of joint inventor Dr. Karen A. Klein. Specifically, Applicants are submitting the following items in Exhibit A: a photocopy of the letter sent to Dr. Klein (dated July 29, 2004) that accompanied the substitute Declaration, which was sent via priority FedEx, along with a pre-paid envelope for returning the signed substitute Declaration; and a copy of FedEx proof of delivery.

01/07/2005 ZJUHAR1 00000071 201430 10022115

01 FC:1462 400.00 DA

BEST AVAILABLE COPY

The Examiner deemed the original Declaration filed in this application as defective and required filing of a compliant Declaration. All of the inventors (Drs. Sawyers, Witte, Reiters, and Klein) signed the Declaration as originally filed in the application.

The last known address of Dr. Klein is 174 Denslow Avenue, Los Angeles, CA 90049. An attempt was made by Applicant's agents to reach Dr. Klein to obtain her signature on the substitute Declaration for the instant application at this address. The delivery to her home address was sent via FedEx (see Exhibit A). This delivery was signed for by someone at the residence (also Exhibit A).

Applicants have also repeatedly attempted to reach the inventor in November of 2003 to obtain signatures for Declarations for filing in U.S. Application Nos. 10/062,684; 10/062,738; and 10/062, 738, which also claim priority to the same parent applications. On November 18, 2003, Applicants' agent spoke to Dr. Klein on the phone. She confirmed at that time that her home address of record was current.

In view of the foregoing, we petition to proceed without Dr. Klein's signature. The other joint inventors, Drs. Sawyers, Witte, and Reiter, have executed the substitute Declaration for the application (enclosed). Because Dr. Klein has not signed the document after diligent effort, Applicants respectfully request waiver of the provisions of 37 C.F.R. § 1.67.

Please charge fee for filing this petition to our Deposit Account No. 20-1430 in accordance with the accompanying Fee Transmittal PTO/SB/17 submitted in duplicate.

Respectfully submitted,

Jean M. Lockyer  
Reg. No. 44,879

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, California 94111-3834  
Tel: 415-576-0200  
Fax: 415-576-0300  
JML:jml  
60388881 v1

TOWNSEND  
and  
TOWNSEND  
and  
CREW  
LLP



Palo Alto, California  
Tel 650 326-2400  
Walnut Creek, California  
Tel 925 472-5000  
San Diego, California  
Tel 858-350-6100

**San Francisco**  
Two Embarcadero Center  
8th Floor  
San Francisco  
California 94111-3834  
Tel 415 576-0200  
Fax 415 576-0300

Denver, Colorado  
Tel 303 571-4000  
Seattle, Washington  
Tel 206 467-9600

July 29, 2004

**FedEx**

Dr. Charles L. Sawyers  
11-934 Fator Building  
UCLA-Hematology/Oncology  
10833 Le Conte Avenue  
Los Angeles, CA 90095

Dr. Owen N. Witte  
HHMI/UCLA  
5-720 MRL  
675 Charles E. Young Drive South  
Box 951622  
Los Angeles, CA 90095-1662

Dr. Karen A. Klein  
174 Denslow Avenue  
Los Angeles, CA 90049

Robert Reiter, M.D.  
University of California - Los Angeles  
Department of Urology  
Room 66-128  
10833 Leconte Avenue  
Los Angeles, CA 90095

Re: US Patent Application No. 10/022,115  
filed December 14, 2001  
for MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION  
Inventors: Charles L. Sawyers *et al.*  
UC Case No. 96-540-4  
Our file No. 02307K-1413-12US

Dear Doctors:

Enclosed is a revised Declaration for the above application. (New Declarations are required in numerous continuing cases because the Declaration filed with the original parent application was defective.) Please sign, date and return the enclosed document in the envelope provided at your early convenience.

Thank you.

Very truly yours,

Jean M. Lockyer, Ph.D.  
Patent Agent

JML/mcd  
Enclosure

60273212 v1



FedEx Express  
Customer Support Trace  
3875 Airways Boulevard  
Module H, 4th Floor  
Memphis, TN 38116

U.S. Mail: PO Box 727  
Memphis, TN 38194-4643  
Telephone: 901-369-3600

8/11/2004

Dear Customer:

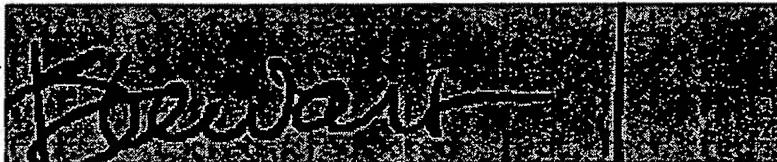
Here is the proof of delivery for the shipment with tracking number 790717015483. Our records reflect the following information.

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**Delivery Information:**

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Signed For By: K.KLEIN



**Delivery Location:** 174 DENSLOW AVE.

**Delivery Date:** August 3, 2004

**Delivery Time:** 1112

---

**Shipping Information:**

---

**Tracking No:** 790717015483

**Ship Date:** July 30, 2004

**Recipient:**

KAREN KLEIN

174 DENSLOW AVE.  
LOS ANGELES, CA 90049  
US

**Shipper:**

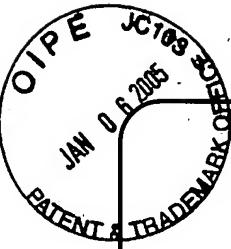
MALINDA DAGIT  
TOWNSEND & TOWNSEND & CREW  
2 EMBARCADERO CTR FL 8  
SAN FRANCISCO, CA 941113833  
US

**Shipment Reference Information:**

02307K-1413-14US

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Reference No.: R2004081100152989920



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	Attorney Docket Number	02307K-141312US
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<b>ENCLOSURES (Check all that apply)</b>		
<input checked="" type="checkbox"/> Fee Transmittal Form-In duplicate <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> After Allowance Communication to TC
<input checked="" type="checkbox"/> Amendment/Reply-"Amendment" w/Appendix 1 <input type="checkbox"/> After Final <input checked="" type="checkbox"/> Affidavits/declaration(s)- "Declaration Under 37 CFR 1.131" w/Exhibit A	<input checked="" type="checkbox"/> Petition-Under 37 CFR 1.183 w/Exhibit A <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input checked="" type="checkbox"/> Extension of Time Request-3 mos. per accompanying Fee Transmittal <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement	<input checked="" type="checkbox"/> Terminal Disclaimer-(TWO) <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1)-Executed Declaration (oath) in three counterparts 2)-3.73(b) Statement 3)-Return Postcard
<input type="checkbox"/> Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Townsend and Townsend and Crew LLP		
Signature			
Printed name	Jean M. Lockyer, Ph.D.		
Date	January 3, 2005	Reg. No.	44,879

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature			
Typed or printed name	Malinda C. Dagit	Date	3 Jan 2005



# FEET TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 705

<i>Complete if Known</i>	
Application Number	10/022,115
Filing Date	December 14, 2001
First Named Inventor	Sawyers, Charles L.
Examiner Name	Joanne Hama
Art Unit	1632
Attorney Docket No.	02307K-141312US

#### METHOD OF PAYMENT (check all that apply)

- Check  Credit Card  Money Order  Other  None  
 Deposit Account:

Deposit Account Number

20-1430

Deposit Account Name

Townsend and Townsend and Crew LLP

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

#### FEE CALCULATION

##### 1. BASIC FILING FEE

Large Entity	Small Entity
--------------	--------------

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

##### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Large Entity	Small Entity
--------------	--------------

Total Claims	Extra Claims	Fee from below	Fee Paid
	-**	=	
Independent Claims		X	
Multiple Dependent		X	

Large Entity	Small Entity
--------------	--------------

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	88	2201	44	Independent claims in excess of 3
1203	300	2203	150	Multiple dependent claim, if not paid
1204	88	2204	44	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*or number previously paid, if greater; For Reissues, see above

#### FEE CALCULATION (continued)

##### 3. ADDITIONAL FEES

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	510
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,330	2453	665	Petition to revive – unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	130
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify) Terminal Disclaimer					65
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$705)					

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Jean M. Lockyer, Ph.D.	Registration No. (Attorney/Agent)	44,879
Signature			Telephone 415-576-0200
Date	January 3, 2005		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.



PTO/SB/28 (08-03)

TERMINAL DISCLAIMER TO OBVIATE A DOUBLE PATENTING  
REJECTION OVER A PRIOR PATENTDocket Number (Optional)  
02307K-141312

In re Application of: Charles L. Sawyers et al.

Application No. 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION

The owner\*, The Regents of the University of California, of one-hundred percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 and 173, as presently shortened by any terminal disclaimer, of prior Patent Nos. 6,107,540 and 6,365,797. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the prior patent are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of the prior patent, as presently shortened by any terminal disclaimer, in the event that it later: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.

Check either box 1 or 2 below, if appropriate.

1.  For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.). The undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2.  The undersigned is an attorney of record.



9/2/04

Signature

Date

**LORELEI DE LARENA**

INTELLECTUAL PROPERTY MANAGER  
UCLA Office of Intellectual Property Administration

- Terminal disclaimer fee under 37 CFR 1.20(d) is included.

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\*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner). Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

60310386 v1

01/07/2005 ZJUHAR1 00000082 201430 10022115

02 FC:2814

65.00 DA



PTO/SB/25 (08-03)

**TERMINAL DISCLAIMER TO OBVIAE A PROVISIONAL DOUBLE PATENTING  
REJECTION OVER A PENDING SECOND APPLICATION**
Docket Number (Optional)  
02307K-141312

In re Application of: Charles L. Sawyers et al.

Application No. 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION

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In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

Check either box 1 or 2 below, if appropriate.

1.  For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2.  The undersigned is an attorney of record.


9/24/04

Signature

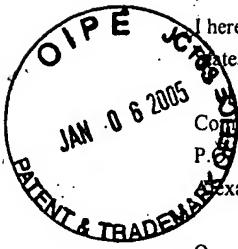
Date

Typed or printed name  
**LORELEI DE LARENA**  
INTELLECTUAL PROPERTY MANAGER  
UCLA Office of Intellectual Property Administration

- Terminal disclaimer fee under 37 CFR 1.20(d) is included.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

\*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

On

3 Jan. 2005

TOWNSEND and TOWNSEND and CREW LLP

By:

Malinda A. Dagit

**PATENT**

Attorney Docket No.: 02307K-141312US

Client Ref. No.: 96-540-4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Charles L. Sawyers et al.

Application No.: 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN  
PROSTATE CANCER PROGRESSION

Customer No.: 20350

Confirmation No. 4057

Examiner: Joanne Hama

Technology Center/Art Unit: 1632

**DECLARATION UNDER 37 C.F.R. § 1.131**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We, Charles Sawyers, Owen Witte, Robert Reiter, and Karen Klein, hereby declare that:

1. We are the sole inventors of the subject matter disclosed and claimed in the above-referenced U.S. Patent Application.
2. We completed the claimed invention in the United States prior to December 1995. Attached Exhibit A provides evidence of the completion of the invention. The dates on the Exhibit and unrelated information have been redacted. All redacted dates are prior to December 1995.

3. The present invention relates to methods of assessing the effect of a composition or treatment on human prostate cancer. The methods employ an immune deficient mouse that has a human prostate xenograft of locally advanced or metastatic prostate cancer. The mouse is subject to the composition or treatment and the effects are then determined.

4. Prior to December 1995, we submitted an INVENTION REPORT to our employer showing completion of the claimed invention. The INVENTION REPORT is attached as Exhibit A. The REPORT indicates that, prior to December 1995, we developed *in vivo* prostate cancer models using immunodeficient SCID mice. We established two xenografts that could be serially transplanted. These xenografts retain the clinical features of prostate cancer. These models can be used as a tool to screen potential prostate cancer drugs. In light of these results, we prepared the INVENTION REPORT.

5. In view of the foregoing, we respectfully submit that Exhibit A, the INVENTION REPORT, unequivocally establishes that the claimed invention was conceived of and reduced to practice prior to December 1995.

We further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed: Charles J. Sawyers  
Charles Sawyers

Dated: Nov 29, 2004

Signed: \_\_\_\_\_  
Owen Witte

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_  
Robert Reiter

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

Karen Klein

3. The present invention relates to methods of assessing the effect of a composition or treatment on human prostate cancer. The methods employ an immune deficient mouse that has a human prostate xenograft of locally advanced or metastatic prostate cancer. The mouse is subject to the composition or treatment and the effects are then determined.

4. Prior to December 1995, we submitted an INVENTION REPORT to our employer showing completion of the claimed invention. The INVENTION REPORT is attached as Exhibit A. The REPORT indicates that, prior to December 1995, we developed *in vivo* prostate cancer models using immunodeficient SCID mice. We established two xenografts that could be serially transplanted. These xenografts retain the clinical features of prostate cancer. These models can be used as a tool to screen potential prostate cancer drugs. In light of these results, we prepared the INVENTION REPORT.

5. In view of the foregoing, we respectfully submit that Exhibit A, the INVENTION REPORT, unequivocally establishes that the claimed invention was conceived of and reduced to practice prior to December 1995.

We further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed: \_\_\_\_\_

Charles Sawyers

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_

Owen Witte

Dated: 11-23-04

Signed: \_\_\_\_\_

Robert Reiter

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_

Karen Klein

Dated: \_\_\_\_\_

3. The present invention relates to methods of assessing the effect of a composition or treatment on human prostate cancer. The methods employ an immune deficient mouse that has a human prostate xenograft of locally advanced or metastatic prostate cancer. The mouse is subject to the composition or treatment and the effects are then determined.

4. Prior to December 1995, we submitted an INVENTION REPORT to our employer showing completion of the claimed invention. The INVENTION REPORT is attached as Exhibit A. The REPORT indicates that, prior to December 1995, we developed *in vivo* prostate cancer models using immunodeficient SCID mice. We established two xenografts that could be serially transplanted. These xenografts retain the clinical features of prostate cancer. These models can be used as a tool to screen potential prostate cancer drugs. In light of these results, we prepared the INVENTION REPORT.

5. In view of the foregoing, we respectfully submit that Exhibit A, the INVENTION REPORT, unequivocally establishes that the claimed invention was conceived of and reduced to practice prior to December 1995.

We further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed: \_\_\_\_\_  
Charles Sawyers

Dated: \_\_\_\_\_

Signed: \_\_\_\_\_  
Owen Witte

Dated: \_\_\_\_\_

Signed: Robert Reiter  
Robert Reiter

Dated: 11/30/01

Signed: \_\_\_\_\_  
Karen Klein

Dated: \_\_\_\_\_



VERSITY OF CALIFORNIA, LOS ANGELES  
INVENTION REPORT  
(UCLA Standard Procedure 950.1)

CONFIDENTIAL INFORMATION  
RECEIVED

When completed and signed, this Invention Report becomes an official and confidential University document that describes a possibly patentable invention, discovery, idea, process, device, or improvement. To the extent possible, please provide all the information requested. The information provided will be crucial in determining the patentability and commercial potential of the invention. Call the UCLA Office of Intellectual Property Administration at (310) 206-4401 for additional information or assistance in completing the Invention Report.

1. Give a short descriptive title for the invention that does not reveal important details.  
The development of a unique model for human prostate cancer.

2. Give a brief description of the invention. Describe its purpose or utility, the state of the art prior to the invention, how it functions in detail, the best way of practicing the invention, and its advantages or improvements over existing practices. Use additional pages as needed and attach any descriptive illustrations or written materials.  
Please see the attachment.

3. Identify the sources of support used in making the invention including the name of each source and, if applicable, the grant/contract identification number and name of the Principal Investigator. Research agreements often carry University patent obligations to sponsors.

Funding Source/Sponsor

Contract/Grant Number

Principal Investigator

UCLA Prostate Disease Program

Charles L. Sawyers

NIH Postdoctoral Training Grant T32-GM-08243 (Karen Klein)

4. Identify the sources of any proprietary biological, chemical, or other materials or computer software used in making the invention that were obtained under an agreement of confidentiality, restricted use, or other condition. Attach copies of the agreements.

Source of Materials

Identification of Materials

None.

5. Give the date the invention was first conceived.

6. Give the date the invention was first successfully tested in simulation or actual use.

7. Identify any persons, other than University employees, and their employers to whom the invention has been described orally or in writing.

None.

8. Identify companies that are or may be interested in using or marketing the invention.

Urocor, Inc.

800 Research Parkway

Oklahoma City, Oklahoma 73104

**University of California, Los Angeles**

**INVENTION REPORT**

(Charles L. Sawyers, M.D., Karen Klein, Ph.D.)

**2. attachment**

The major cause of morbidity and mortality from prostate cancer is advanced stage, androgen-independent disease. Based on currently available data it is believed that disease progression in prostate cancer results from specific genetic alterations. The purpose of this invention is to develop a system to propagate advanced stage human prostate cancer in severe combined immunodeficient (SCID) mice. The invention can be used as a tool to identify prostate cancer genes and to screen potential prostate cancer drugs.

Several groups have used athymic (T cell deficient) nude mice as tools to propagate human prostate cancer tissue, with limited success (Pretlow et al., 1991, 1993). We have used our experience with human leukemia xenografts (Sawyers et al., 1992) to develop an *in vivo* prostate cancer model using immunodeficient SCID mice. We have successfully established two xenografts which can be serially transplanted. These xenografts represent major improvements over previous work because they can be maintained and expanded indefinitely, they retain the clinical features of prostate cancer (i.e., expression of prostate specific antigen and androgen receptor), and we have developed androgen-dependent and independent sublines that reflect the different clinical stages of prostate cancer.



## DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION** the specification of which \_\_\_\_\_ is attached hereto or  was filed on December 14, 2001 as Application No. 10/022,115 and was amended on \_\_\_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

### Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
09/567,202	05/08/00	Patent No. 6,365,797 B1
08/951,143	10/15/97	Patent No. 6,107,540
08/732,676	10/15/96	abandoned

Full Name of Inventor 1:	Last Name: <b>SAWYERS</b>	First Name: <b>CHARLES</b>	Middle Name or Initial: <b>L.</b>
Residence & Citizenship:	City: <b>Los Angeles</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>United States</b>
Post Office Address:	Post Office Address: <b>3343 Mandeville Canyon Road</b>	City: <b>Los Angeles</b>	State/Country: <b>California</b> Postal Code: <b>90049</b>

Full Name of Inventor 2:	Last Name: <b>KLEIN</b>	First Name: <b>KAREN</b>	Middle Name or Initial: <b>A.</b>
Residence & Citizenship:	City: <b>Los Angeles</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>United States</b>
Post Office Address:	Post Office Address: <b>174 Denslow Avenue</b>	City: <b>Los Angeles</b>	State/Country: <b>California</b> Postal Code: <b>90049</b>
Full Name of Inventor 3:	Last Name: <b>WITTE</b>	First Name: <b>OWEN</b>	Middle Name or Initial: <b>N.</b>
Residence & Citizenship:	City: <b>Sherman Oaks</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>United States</b>
Post Office Address:	Post Office Address: <b>14727 Sutton Drive</b>	City: <b>Sherman Oaks</b>	State/Country: <b>California</b> Postal Code: <b>91403</b>
Full Name of Inventor 4:	Last Name: <b>REITER</b>	First Name: <b>ROBERT</b>	Middle Name or Initial: <b>E.</b>
Residence & Citizenship:	City: <b>Los Angeles</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>United States</b>
Post Office Address:	Post Office Address: <b>10511 Kinnard Avenue</b>	City: <b>Los Angeles</b>	State/Country: <b>California</b> Postal Code: <b>90024</b>

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1   Charles L. Sawyers Date 8/31/04	Signature of Inventor 2  Karen A. Klein Date	Signature of Inventor 3  Owen N. Witte Date
Signature of Inventor 4  Robert E. Reiter Date		



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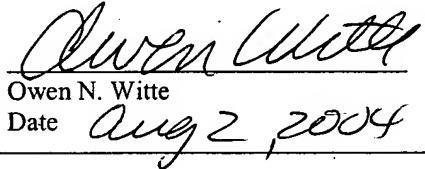
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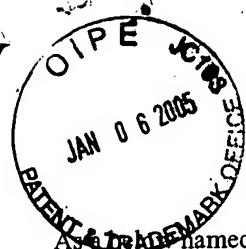
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Signature of Inventor 1  Charles L. Sawyers Date	Signature of Inventor 2  Karen A. Klein Date	Signature of Inventor 3   Owen N. Witte Date Aug 2, 2004
Signature of Inventor 4  Robert E. Reiter Date		



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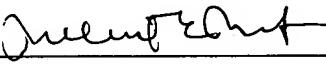
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Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3
Charles L. Sawyers Date	Karen A. Klein Date	Owen N. Witte Date
Signature of Inventor 4  Robert E. Reiter Date 8/20/04		



**REVOCATION OF POWER OF  
ATTORNEY WITH  
NEW POWER OF ATTORNEY  
AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	10/022,115
Filing Date	December 14, 2001
First Named Inventor	Sawyers, Charles L.
Art Unit	1632
Examiner Name	Joanne Hama
Attorney Docket Number	02307K-141312US

I hereby revoke all previous powers of attorney given in the above-identified application:

A Power of Attorney is submitted herewith.

**OR**

I hereby appoint the practitioners associated with the Customer Number:

**20350**

Please change the correspondence address for the above-identified application to:

The address associated with  
Customer Number:

**20350**

**OR**

<input type="checkbox"/> Firm or Individual Name				
Address				
Address				
City		State	ZIP	
Country				
Telephone		Fax		

I am the:

- Applicant/Inventor.  
 Assignee of record of the entire interest. See 37 CFR 3.71.  
*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)*

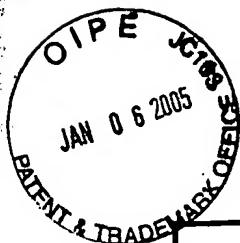
**SIGNATURE of Applicant or Assignee of Record**

Name	Lorelei de Larena		
Signature			
Date	11/20/04	Telephone	(310) 794-0558

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\*Total of \_\_\_\_\_ forms are submitted.

Attorney Docket No. 02307K-141312US

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Charles L. Sawyers et al.Application No./Patent No.: 10/022,115 Filed/Issue Date: December 14, 2001Entitled: MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSIONThe Regents of the University of California, a California Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or
2.  an assignee of less than the entire right, title and interest.

The extent (by, percentage) of its ownership interest is        %

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010704, Frame 0291, or for which a copy thereof is attached.

**OR**

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached. Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11/10/04

Date

(310) 794-0558

Telephone number

Lorelei de Larena

Typed or printed name

Lorelei de Larena

Signature

Intellectual Property Manager

Title

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